

SCOTTISH WIDOWS PLATFORM

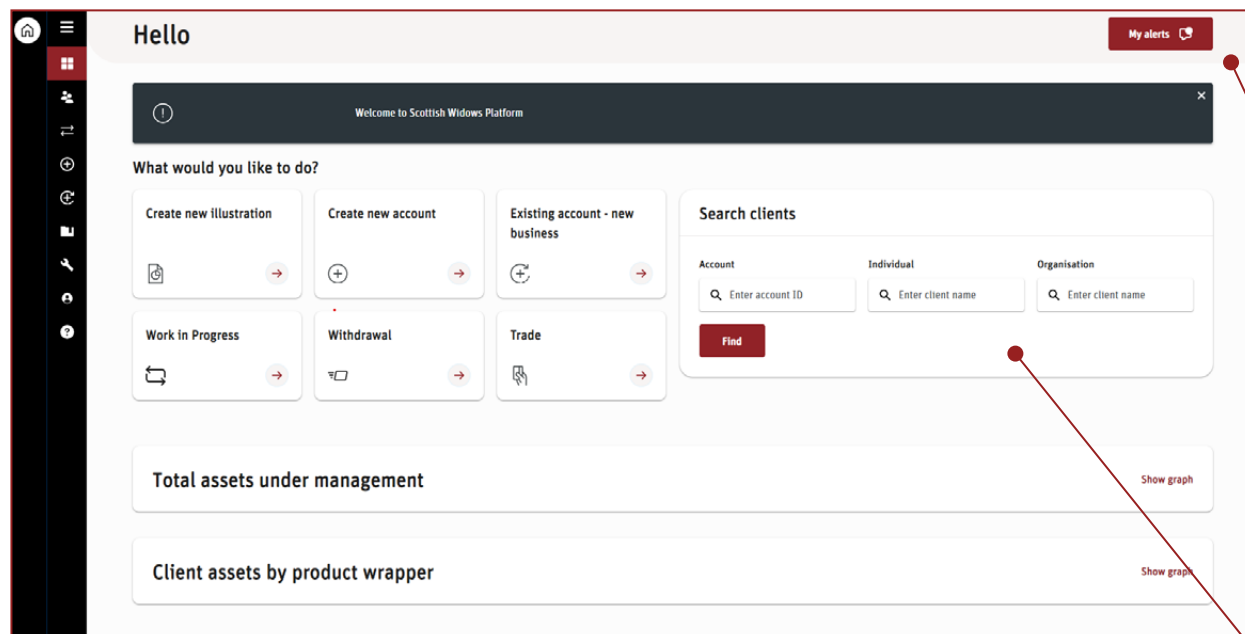
Your guide to the Adviser Dashboard

For Professional Advisers only

SCOTTISH WIDOWS



Adviser dashboard – overview



Once logged in, you will be directed to your dashboard.

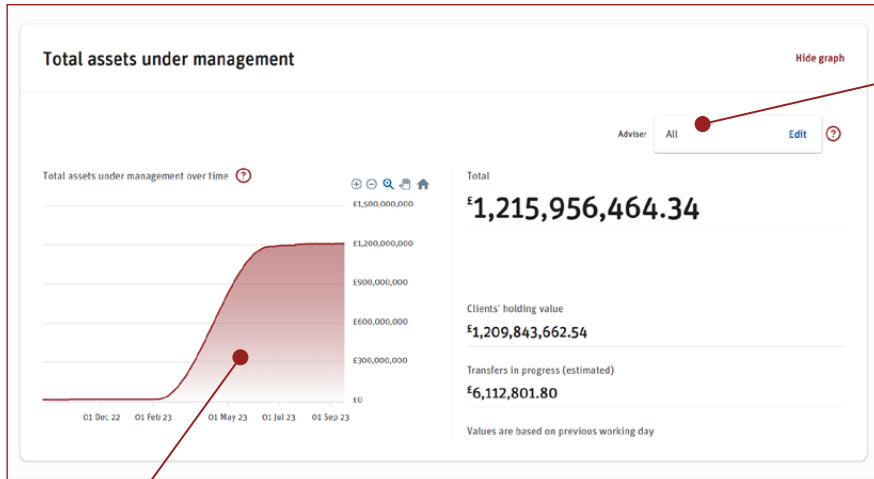
From your dashboard, you can:

- Quickly go to specific parts of the platform by clicking the relevant action tile
- Search for a client
- View assets under management (at firm level)
- View client assets by product wrapper
- Access Menu Navigation

Clicking this icon will take you to **My alerts**. Alerts are our way of communicating important information to you. These can be tailored to suit your preferences, see page 4 of this guide for more information.

The search tool allows you to search for a client by name, organisation name or account number.

Adviser dashboard – overview

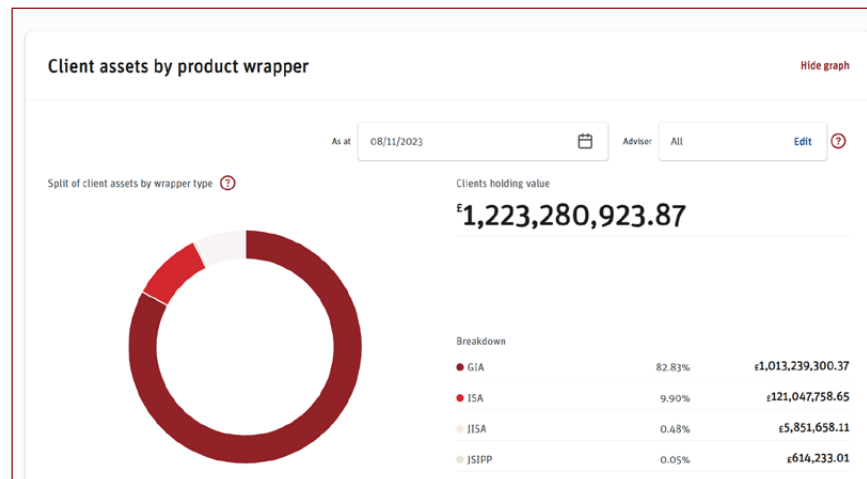


By default, the graphs will show firm level assets, using the adviser dropdown you can select which advisers assets you want to see displayed on the graph.

There are two graphs available within the adviser dashboard. One showing total assets under management and the second shows client assets by product wrapper.

Hovering over the graph for total assets under management will show you the value of assets at specific dates.

On the client assets by product wrapper graph, you can amend the as at date to view historical valuations.



Adviser dashboard – alerts

Search for alerts

From Date: 2-Jul-2023 To Date: 10-Aug-23 Description: [Text Field]

Alert: All Type: All

Adviser: Search by Company Status: Active (Read/Unread)

[Search]

Recent Alerts

Date	Alert	Type	Client Affected	Status	Delete
Page of 0					

[Configure my alert preferences]

[Save]

Search for specific alerts here

By clicking **Configure my alert preferences** you can tailor the alerts you receive and how often you are notified about these alerts.

Your alerts will be displayed under **Recent Alerts**. Examples of alerts we will send are to notify you a transfer has been received or to advise you of a corporate action.

Alert Preferences

Default Set

Set Members

All advisers that you have access to must be assigned to a preference set. To move advisers between sets, click on the adviser name to select and use the buttons to move one at a time or the whole list at once.

Steve Wilson
Karen Wilson
Chris Berry
advi te

Unassigned Members

Note: There should be no unassigned members

Email Notifications

Issue email to notify you of unread alerts: Never

[Save]

Select the alerts to display on the homepage

Please note that certain, high priority alerts cannot be disabled as they indicate that immediate action is required.

Alerts	Action Required	Important Information	Information
Alerts	<input checked="" type="checkbox"/> (all)	<input checked="" type="checkbox"/> (all)	<input type="checkbox"/> (all)
Corporate Action Decision Required	<input type="checkbox"/>		
Corporate Action Notification			<input type="checkbox"/>

Adviser dashboard – alerts

Back

Alert Summary
Alert Preferences

Default Set

Set Members

All advisers that you have access to must be assigned to a preference set.

To move advisers between sets, click on the advisor name to select and use the buttons to move one at a time or the whole list at once.

Steve Wilson
 Karen Wilson
 Chris Berry
 advise

<
<<
>
>>

Unassigned Members

! Note: There should be no unassigned members

Email Notifications

Issue email to notify you of unread alerts: Never v

Save

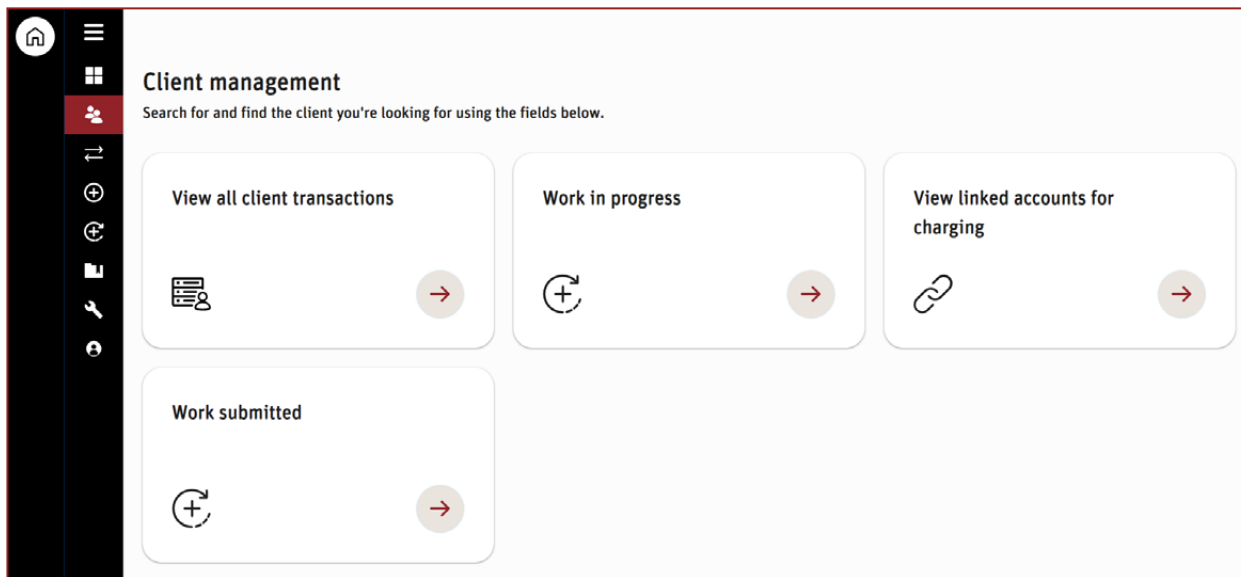
Select the alerts to display on the homepage

Please note that certain, high priority alerts cannot be disabled as they indicate that immediate action is required.

		Action Required	Important Information	Information
⊖	Alerts	<input checked="" type="checkbox"/> (all)	<input checked="" type="checkbox"/> (all)	<input type="checkbox"/> (all)
	Corporate Action Decision Required	<input checked="" type="checkbox"/>		
	Corporate Action Notification			<input type="checkbox"/>
⊖	Retirement Alerts	<input checked="" type="checkbox"/> (all)	<input type="checkbox"/> (all)	<input type="checkbox"/> (all)
	Drawdown pension - GAD review	<input checked="" type="checkbox"/>		
	Drawdown pension - GAD review confirmation		<input type="checkbox"/>	
⊖	Payment Out Alerts	<input type="checkbox"/> (all)	<input type="checkbox"/> (all)	<input type="checkbox"/> (all)
	Income Payment Strategy Failure	<input type="checkbox"/>		
⊖	Transfer in Alerts	<input type="checkbox"/> (all)	<input type="checkbox"/> (all)	<input type="checkbox"/> (all)
	Direct Debit Cancellation			<input type="checkbox"/>
	Ineligible ISA Stock	<input type="checkbox"/>		
	Transfer Completion Alert		<input type="checkbox"/>	

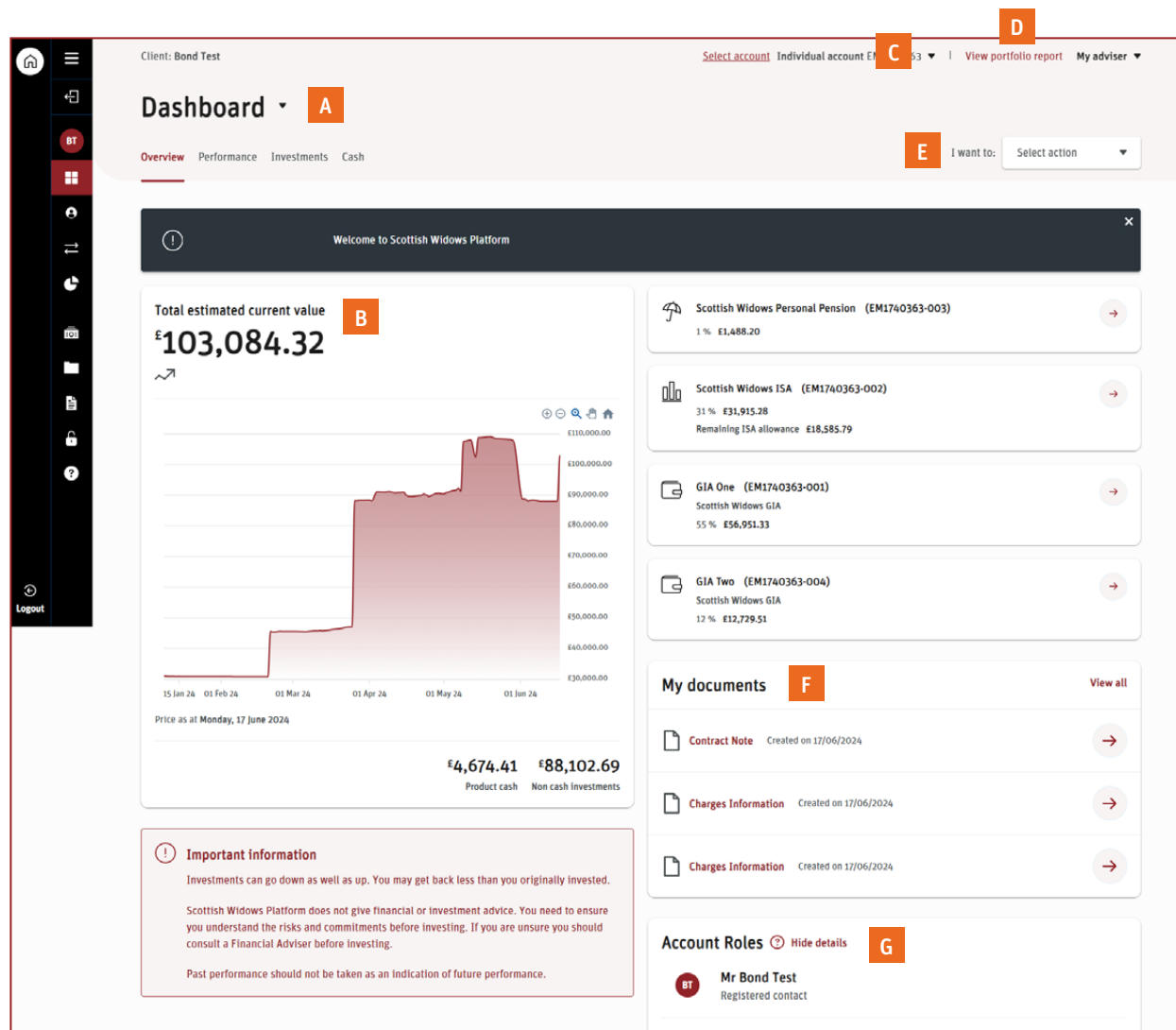
- Select the alerts you wish to receive in the table.
- Select how frequently you wish to receive emails notifying you of unread alerts on the platform and click **Save**.

Adviser dashboard – client management



- From the Adviser Dashboard, if you click the '**Client Management**' Icon from the navigation pane, you will see action tiles for client transactions, work in progress, linked accounts and work submitted.
- Within **client transactions** you can view pending transactions, completed transactions and corporate actions. All of these allow you to search for a specific client.
- **Work in Progress** gives you access to work you have previously saved, and to resume or delete where appropriate.
- **View Linked accounts for charging**
- **Work Submitted**

Client dashboard



From here, you will find lots of useful information and links to further detail:

A Dashboard: Allows you to see an overview of your clients account, or individual product – you can select your view of choice in the drop down menu next to Dashboard (small downward arrow) or by selecting the product tile.

B Total estimated current value: Shows the combined value of assets within all the clients product(s). A breakdown of the individual products values can be found on the right hand side. The performance of the account is displayed in the line graph below.

C Change: Clicking the change button allows you to navigate to other accounts the client has, such as Corporate or Joint Accounts.

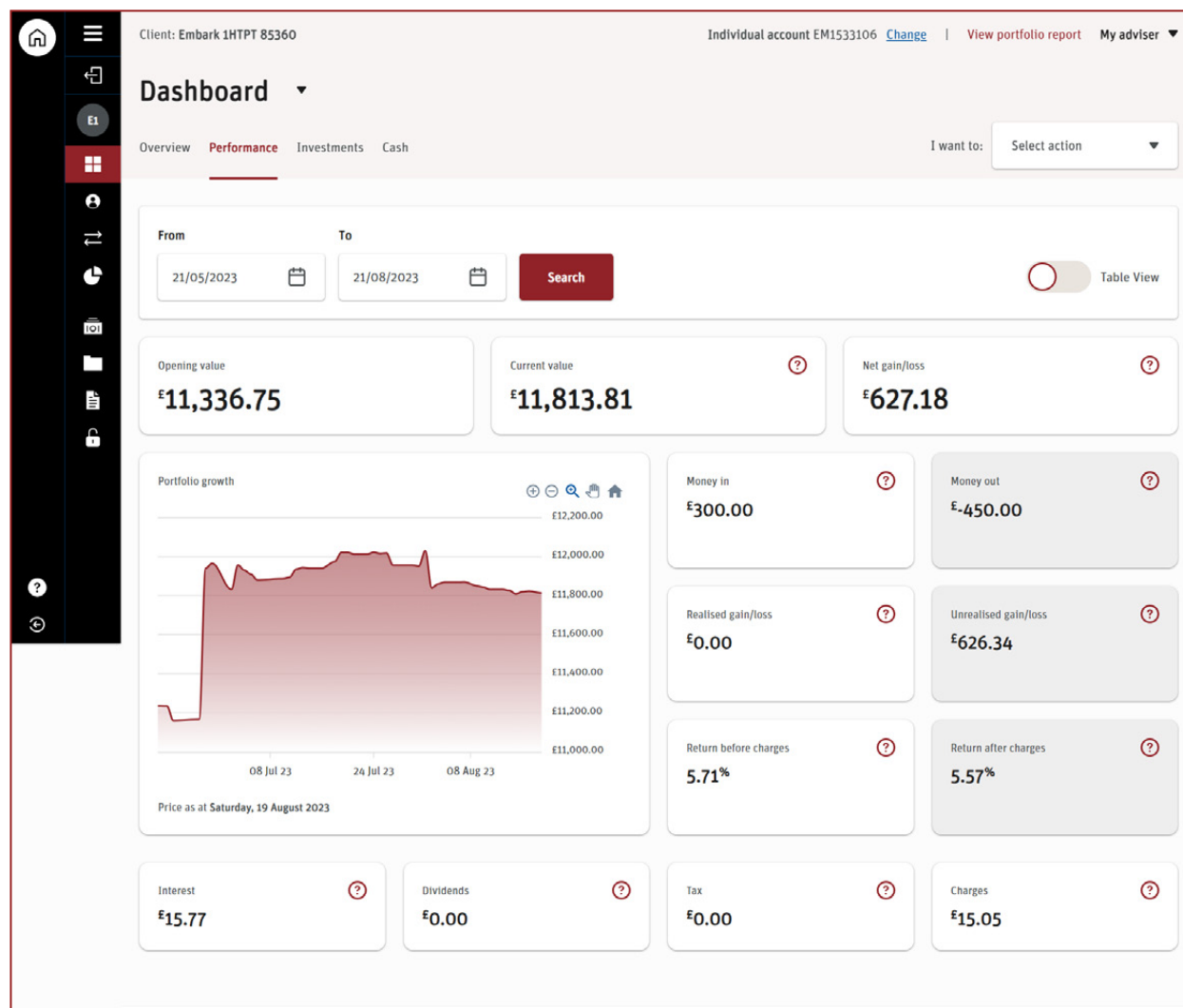
D View Portfolio Report: Provides a high level snapshot of the client account.

E I want to dropdown: Allows you to quickly navigate to other commonly used areas of the platform.

F My Documents: Shows the most recent documents that are available. They can be viewed by clicking on the arrow to the right of each document. The client's full document library can be accessed by clicking **My Documents**.

G Account Roles: Shows accounts which are connected to client.

Client dashboard – performance



By clicking on the performance tab within the Client Dashboard, you can, at a glance, see a summary of money in & money out of the clients policy, as well as useful information about returns, charges and dividends.

Simply change the dates shown at the top to view performance of your clients account between the two dates of your choosing.

We've also made it easier for you to export information to excel with the button on the top right hand side which allows you to switch to **table view**. Where you can:

- View information about money in & out, charges and dividends
- View the performance of the account between two dates of your choosing
- Switch to table view to allow you to export results to excel format

Client dashboard – investments

Dashboard ▾

Overview Performance **Investments** Cash

I want to: ▾

[Visit FE Fund Centre](#) or [Scan account portfolio](#)

Investments As at

▾

[Export results](#) ↓

Investment Name	Location	Quantity	Last known price [?]	Estimated value [?]	% of portfolio	Average cost	Total cost	Document	Protect
GBP Cash	Embark	9538.66	£1.00	£9,538.66	80.74%	£1.00	£9,538.66		
BlackRock DevMktsSusEq D Acc	Embark	173.989	£2.27	£395.37	3.35%	£2.30	£400.00	<input type="button" value="Document"/>	<input type="checkbox"/>
Barclays nil paid	Embark	15620	£0.00	£0.00	0.00%	£0.02	£285.77		<input type="checkbox"/>
null	Embark	781	£1.44	£1,126.51	9.54%	£1.28	£1,000.18		<input type="checkbox"/>
Vodafone Group PLC ORD USD0.20 20/21	Embark	546	£1.38	£753.26	6.38%	£1.37	£750.00	<input type="button" value="Document"/>	<input type="checkbox"/>

The investments tab within the Client Dashboard allows you to view a breakdown of all holdings the client has, including valuation, number of units and total cost.

There is also a quick link through to FE Fund Centre. This gives you access to fund fact sheets and allows you to compare funds.

FE fund centre can be also be accessed via the navigation menu under **Tools**.

Client dashboard – cash

Client: Embark 1HTPT 85360 Individual account EM1533106 [Change](#) | [View portfolio report](#) My adviser ▼

Dashboard

Overview Performance Investments **Cash** I want to: [Select action](#) ▼

As at

21/08/2023 [Search](#)

[Export results](#) ↓

Product name	% of total investment [?]	Available [?]	Committed [?]	Total balance
Scottish Widows ISA (EM1533106-002)	100.00%	£182.53	£0.00	£182.53
GIA (1) (EM1533106-001)	80.44%	£8,505.94	£850.19	£9,356.13
GIA Two (EM1533106-003)	0.00%	-£0.22	£0.22	£0.00
Total		£8,688.25	£850.41	£9,538.66

The **Cash** tab shows you a view of the cash balances within each of the products the client holds in this account.

Client dashboard – transactions

Client: Embark 1HTPT 85360 Individual account EM1533106 [Change](#) | [View portfolio report](#) My adviser ▼

GIA (1) (EM1533106-001) ▼

Overview Performance Investments Cash **Transactions** A

I want to: ▼

View B C

▼ ▼

Status D

▼

[Export results](#) ↓

1 2 Results per page 20

Date	ID	Investment name	Order type	Status	Unit cost	Value	
06/07/2023	4509464	Embark Horizon Multi-Asset I Z Acc	Buy	Pooled	174.398	£100.00	Details
17/02/2023	4454021	null	Sell	Placed	6	£2.93	Details
17/02/2023	4454019	BlackRock DevMktsSusEq D Acc	Sell	Authorised	32.732	£76.24	Details
20/01/2023	4442367	BlackRock DevMktsSusEq D Acc	Sell	Pooled	44.628	£100.00	Details
18/11/2022	4415132	BlackRock DevMktsSusEq D Acc	Sell	Pooled	44.737	£100.00	Details
20/10/2022	4398778	BlackRock DevMktsSusEq D Acc	Sell	Pooled	46.177	£100.00	Details
30/09/2022	4388861	Barclays nil paid	Buy	Authorised	0	£990.00	Details
09/09/2022	4373914	BlackRock DevMktsSusEq D Acc	Sell	Pooled	8.319	£19.00	Details

- A When you are viewing a product via the dashboard you will get an additional **Transactions** option.
- B Use the dropdown to filter by Cash, Investment, Corporate actions and Transfer type transactions.
- C Use the filter below to see monies coming in or out of the platform. The date filter can also be used, make your selection and click **Search**.
- D Use the drop down, select whether the transaction is past or pending and click **Search** to filter by transaction type.

Product dashboard

Client: Anna Customer | View portfolio report | My adviser

Scottish Widows ISA

Overview | Performance | Investments | Cash | Transactions | I want to: Select action

Pay money in →

Trading ↺

Withdraw →

Total estimated current value
£89,002.16
No data to display

Cash available Ⓞ
 £10,300.54

Total cash value Ⓞ
 £10,300.54

Investments value
 £78,701.62
Non cash investments

Stocks & Shares ISA summary

ISA remaining allowance Ⓞ
 £20,000.00
 ISA used allowance
 £0.00
 ISA withdrawals
 £0.00

From the client dashboard, if you select a specific product, you will then see a detailed breakdown of the value of that product.

Cash available to spend displays cash available to spend for trading purposes and does not include uncleared funds and the proceeds of any unsettled trades.

Total cash value includes uncleared funds and the proceeds of any unsettled trades.

For ISA & JISA products, you will also see a breakdown of remaining allowance, allowance used & withdrawals.



0330 024 2345



service@scottishwidowsplatform.co.uk



scottishwidows.co.uk/platform

